CHAIRMAN OF THE JOINT CHIEFS OF STAFF INSTRUCTION

CINC COMMAND AND CONTROL INITIATIVES PROGRAM

References: See Enclosure I.

1. <u>Purpose</u>. Establish policy and procedures for the CINC Command and Control Initiatives Program (C2IP).

2. <u>Cancellation</u>. CJCSI 7401.02A, 15 November 1996, "CINC Command and Control Initiatives Program" is canceled.

3. <u>Applicability</u>. This instruction applies to the Joint Staff, Services, combatant commands, and Defense agencies.

4. <u>Policy</u>

   a. C2IP program funds are for CINC use only.

   b. C2IP enables CINCs, on a case-by-case basis, to implement timely, low-cost, near term improvements to their command and control (C2) systems to meet requirements that result from unforeseen situations. The C2IP program is not intended to subsidize ongoing projects or circumvent the DOD Planning, Programming and Budgeting System (PPBS). Improvements should increase the CINC's command and control capabilities, which, in turn, improve operational readiness and combat capabilities. To assure system compatibility, interoperability, and supportability with the configurations of Service-managed C2 systems, coordination with the appropriate Service(s) is required. C2IP funds should not be used to make routine C2 modernization upgrades; rather, the PPBS process should be accessed to support these kinds of requirements.

c. Appropriated funds will be budgeted annually by the Joint Staff to support the C2IP program. Services contribute O&M dollars each year to support the program.

d. The C2IP program is managed by the Director for Command, Control, Communications, and Computer (C4) Systems (J-6), Joint Staff. The program is executed in accordance with this instruction, which is adapted from Enclosure I, References.

e. All systems, equipment, software or other capabilities acquired through C2IP are considered to be for joint, combined, and coalition use and will meet interoperability, supportability, and spectrum requirements. Funding requests for developmental equipment that may require costly testing and evaluation to obtain interoperability certification are not appropriate for C2IP. The C2IP program can provide minimal funding for testing that requires close coordination with testing and certification organizations to examine alternative means for achieving compliance with certification requirements.

f. All C2IP proposals for spectrum-dependent hardware should document spectrum supportability of the hardware. Commercial hardware should also comply with the above. DOD spectrum certification is required for both commercial off-the-shelf (COTS) and government off-the-shelf (GOTS) equipment. In the event that US-manufactured COTS/GOTS equipment is intended for operation in an overseas area of responsibility (AOR), host-nation approval (HNA) for the use of the equipment in the sponsor's AOR will be obtained prior to deployment.

g. C2IP projects costing $300,000 or less are approved for funding by the Joint Staff J-6.

5. <u>Definitions</u>. See glossary.

6. <u>Responsibilities</u>. See Enclosure A.

7. <u>Summary of Changes</u>. This revision strengthens administrative requirements of the program. C2IP request criteria have been clarified and made more useful. Interoperability and spectrum review needs have been strengthened so proposals will be checked for compatibility during the proposal developmental stage. The revision removes reference information related to CINC command contracting details no longer needed by the Joint Staff.

8. Schedule for Development and Submission of C2IP Proposals is provided in Enclosure B.

9. Joint Staff J-6 Graphic Process for Reviewing and Approving Proposals is provided in Enclosure H.

10. Releasability. This instruction is approved for public release, distribution is unlimited. DOD components (to include the combatant commands), other Federal agencies, and the public may obtain copies of this instruction through the Internet from the CJCS Directives Home Page--http://www.dtic.mil/doctrine. Copies are also available through the Government Printing Office on the Joint Electronic Library CD-ROM.

11. Effective Date. This instruction is effective immediately.

For the Chairman of the Joint Chiefs of Staff:

S. A. FRY
Vice Admiral, U.S. Navy
Director, Joint Staff

Enclosures:
    A - Responsibilities
    B – CINC C2IP Program Policy and Procedures
    C - Fiscal Guidelines
    D - Guidelines for Validating and Approving C2IP Proposals
    E - Format to be Used for Submission of C2IP Proposals
    F - C2IP Report Requirements
    G - Format for Filing Monthly/Quarterly Reports
    H - Joint Staff J-6 Graphic Process for Reviewing and Approving
        Projects
    I - References
    Glossary

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ENCLOSURE A

RESPONSIBILITIES

1. <u>J-6, Joint Staff</u>

    a. Formulate policies and procedures for program administration and execution.

    b. Manage the C2IP, ensure allocation of funds to the CINCs, process and coordinate requests for approval to spend funds in support of approved projects, and monitor the administration of allocated C2IP funds.

    c. Issue annual and out-of-cycle data calls for project proposals and ensure the CINC J-6 (or the J-6 equivalent) authorizes each proposal submitted.

    d. Process proposals through the Joint Staff J-6 (Enclosure H) and Defense Information Systems Agency (DISA) for interoperability and spectrum assessments to assure project compatibility with program criteria outlined in Enclosures D and E.

    e. Validate and approve or reject C2IP proposals.

    f. Request funds be allocated by the Joint Staff Comptroller and Services to the CINCs on a timely basis in support of approved projects.

    g. Identify and justify Joint Staff C2IP funding through DOD's PPBS process.

    h. Monitor the execution of funds by commands, to include withdrawal and reallocation of funds to commands during the fiscal year.

    i. Maintain C2IP budget and fiscal execution records and furnish the Joint Staff Comptroller with statistical summaries of the commands' obligation performance, disbursement performance, and copies of their reports each month.

j. Host monthly video teleconferences with CINC C2IP points of contact (POCs), primarily to coordinate project issues and monitor the execution of funds such as obligations and disbursements IAW program guidance provided in Enclosures C, F, and G.

2. <u>Joint Staff Comptroller (JSC)</u>

a. Establish and maintain Joint Staff procurement and O&M accounts and ensure their integrity. The Joint Staff budget element is 0201135J.

b. Monitor financial activity and the execution of Joint Staff funds as reported in the command monthly reports and DD 1002 Appropriation Status Reports, (the official DOD report as compiled by the Defense Finance and Accounting System (DFAS)).

c. Support C2IP procurement and O&M funding requirements as defined and justified by the Joint Staff J-6 during Program Objective Memorandum (POM) formulation and budget execution processes -- to the extent funding and allocation of Joint Staff resources allow.

d. Distribute procurement and O&M funds on a timely basis to CINC commands per Joint Staff J-6 guidance in support of approved C2IP projects.

e. Retrieve and redistribute excess funds among CINC commands per Joint Staff J-6 guidance.

3. <u>CINCs</u>

a. Establish an office of primary responsibility and designate an officer or civilian, GS11 or above, as the POC for C2IP activities, to include proposal development, review, submission, receipt and execution of allocated funds, and submission of reports.

b. Identify, justify, and submit prioritized C2IP proposals in response to Joint Staff J-6 data calls and emergency needs IAW Enclosures D and E.

c. During initial proposal development, coordinate equipment and software proposals with the supporting DISA field office to determine supportability within DISA's existing and planned networks.

d. During initial proposal development, coordinate with the appropriate Service(s) to determine impact on Service-fielded C2 systems when the proposal could impact configuration control and/or supportability of those systems, i.e., improvements must not modify configuration of Service-managed C2 systems without prior coordination with that Service.

e. Ensure that CINC submissions specify the correct appropriation (O&M or procurement) for the desired project. This appropriation detail is required to be consistent with all applicable laws and financial regulations.

f. Obligate allocated funds on approved projects and return all excess funds over $200.00 unless the command uses its prerogative to redistribute up to 10 percent toward full funding of another approved C2IP project as discussed in Enclosure C.

g. During the contracting process, ensure that the correct appropriation (O&M or procurement) is applied toward each project and that these expenditures are consistent with all applicable laws and financial regulations.

h. Submit monthly and quarterly reports as outlined in Enclosures F and G. All reports should state that they have been coordinated with the command's comptroller.

4. Services

a. Support the C2IP with predetermined levels of O&M funding each year and allocate to commands as requested by the Joint Staff J-6. Service budget elements are 0201135A (Army), 0201135F (Air Force), and 0201135N (Navy).

b. Ensure that efficient vendor and contracting vehicles are accessible to support CINC C2IP acquisition requirements.

c. Evaluate C2IP proposals upon request for impact (e.g., configuration control, supportability, and training) on Service-fielded C2 systems to ensure compatibility and avoidance of duplicative efforts.

5. Defense Information Systems Agency (DISA)

   a. Provide assistance, when required, to CINC headquarters and component staffs in the preparation and validation processes for CINC C2IP proposals. This support will include helping proponents of proposals first determine whether the acquisition in question needs interoperability verification, and secondly, if so, what costs may be incurred.

   b. Support the Joint Staff J-6 by providing the final DISA technical assessment on proposal submissions. The technical review will evaluate the proposed solution for sufficiency, i.e., clear definition of the requirement (to include a system view diagram and critical information exchange requirements), satisfaction of the stated requirement, technical merit, and interface to and supportability within the Defense Information System Network (DISN). The review will also determine test certification status, and when necessary, will identify a DISA Joint Interoperability Test Command (JITC) POC and provide the DSN telephone number of the person who can coordinate with the proponent office to expedite certification.

   c. Review and analyze proposed equipment or software for spectrum sufficiency consistent with restrictions appropriate for the AOR of the proponent CINC.

   d. Provide systems engineering and developmental interoperability testing assistance to help ensure maximum interoperability and minimum duplication.

   e. Designate a document assessment point of contact for the Joint C4I Program Assessment Tool (JCPAT) C2IP module.

ENCLOSURE B

CINC C2IP PROGRAM POLICY AND PROCEDURES

1. Annual Proposal Call. The Joint Staff J-6 will issue a call for proposals on 1 April with a suspense date on or about 1 August. Hard and soft copies must be submitted to expedite the reviews. The Joint Staff J-6 C2IP Program Manager will coordinate final reviews within the Joint Staff and with DISA. The following milestone dates approximate the annual schedule.

Milestone Dates

1 April	Joint Staff J-6 issues call for C2IP proposals.
1 August	CINC J-6s submit originals with cover memorandum signed by the CINC J-6 (or J-6 equivalent) plus transmit electronic copies directly to the Joint Staff J-6 Programs and Budget (PB).
5 August	Joint Staff J-6 PB will forward electronic copies to others for review and comment as necessary.
5 September	Joint Staff J-6, with DISA input, either validates and approves or rejects projects. Proposals with minor deficiencies are returned for corrective action, usually with a 1-week turn around time. Command projects previously validated but not funded may be resubmitted one time for funding.
1-15 October	Joint Staff J-6 will request the Joint Staff Comptroller and Services forward funds to CINC commands. In the event that the Department is operating on Continuing Resolution Authority (CRA), projects will be funded as authorized under current CRA guidance. Once the Defense Appropriations Bill is signed, funds will be forwarded as soon as they become available.

2. <u>Out-of-Cycle Proposals</u>. The Joint Staff J-6 may issue out-of-cycle data calls or accept out-of-cycle proposals at any time, depending upon the availability of funds. The Joint Staff J-6 will process proposals and, as necessary, usually allow DISA 30 days for conducting its review, then forward funds on approved projects, usually within 50 days after receipt of the proposal request.

<u>Out-of-Cycle Milestones</u>

Day 0	CINCs submit out-of-cycle proposals when invited by a specific data call or when deemed necessary by a CINC J-6.
Day 5	After receipt of command proposals, the Joint Staff J-6 C2IP Program Manager will submit soft copies to DISA for review and comment as necessary.
Day 40	With DISA assessments, the Joint Staff J-6 will validate and approve or reject proposals for funding.
Day 45	The Joint Staff CINC Support Division (J-6U) provides review results to the CINCs. Concurrently, J-6 PB Joint Staff will request funds be forwarded by the Joint Staff Comptroller and/or the Services to the CINCs.
Day 50	Funds are available to CINCs to commence project acquisitions.

3. <u>Emergency Proposals</u>. Emergency proposals may be submitted at any time and must meet C2IP criteria. Proponents must justify the pertinent reasons why funds are needed immediately to fix or improve a CINC C2 system. To fund an emergency proposal, a command may need to "unfund" a project(s) to free up dollars to satisfy the emergency requirement.

4. <u>Submission of Proposals</u>. CINCs initiate, screen, and approve C2IP proposals before submitting to Joint Staff J-6 PB for further processing. Each proposal should be submitted in the prescribed format shown in Enclosure E.

a. Unified commands are allowed to submit rejected C2IP proposals only once if new and significant justification exists to warrant Joint Staff J-6 reconsideration. Proponents should state in the history segment of the proposal that it is a resubmission and provide new and relevant justification for its reconsideration.

b. Projects that were previously validated and approved but not funded may be resubmitted one time and reprioritized in the following year's annual data call.

5. <u>Project Validation and Funding Approval</u>. C2IP proposals will be either validated and approved for funding or rejected by the Joint Staff J-6 in accordance with the guidelines established in Enclosures D and E. Only validated C2IP projects will be approved for funding.

6. <u>Allocation of Funds to Commands</u>. As funds become available each fiscal year, allocations to individual commands will be electronically transmitted for approved projects.

7. <u>Reports</u>. CINCs will submit their monthly/quarterly reports on or about the 15th of each month IAW guidance in Enclosures F and G. The report following the end of a quarter should reflect the implementation progress for the quarter on each project and will summarize expense data as reported in DFAS. Commands should forward a Project Completion Report within 30 days of implementation of a project.

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ENCLOSURE C

FISCAL GUIDELINES

1. C2IP funds are limited. Their purpose is to fund emerging or unforeseen CINC C2 system requirements that can immediately increase mission readiness and improve combat capabilities. Funds for regular modernization of C2 equipment and software should be obtained through the PPBS process. Commands should obligate C2IP funds according to the standards established below. When excess funds become available in a command, they must be returned to the Joint Staff J-6 or Services for redistribution. C2IP projects should be completed and operational within 1 year after receipt of funds. As noted in paragraph 7 of Enclosure B, commands must file a completion report to the C2IP Program Manager within 30 days of full implementation of the project.

2. By statute, O&M and procurement funds expire after l and 3 years, respectively. However, funds distributed to the CINCs should be obligated in accordance with the standards stated below regardless of statutory limitations. Since multi-year procurement C2IP funds are managed within the larger financial policies and goals of OSD, failure to maintain these standards may subject the program to significant penalties. Project leaders should complete the final paperwork as soon as possible once the products or services have been received. Vendors must be encouraged to submit bills as soon as possible after the completion of a project to enable the DFAS office to process the vendor checks and record the transactions in its official file. Joint Staff obligation target rates for procurement and O&M obligations are:

   a. Procurement. Funds should be 80 percent obligated by 31 July and 90 percent obligated by the end of the first fiscal year. Commands will return excess funds as soon as practicable.

   b. O&M. Funds should be 80 percent obligated by 31 July and 100 percent obligated by the end of the fiscal year. Commands will return excess funds as soon as practicable.

3. Funds may be committed and obligated only on Joint Staff-validated and approved C2IP projects. CINCs may reallocate C2IP funds among validated and approved projects if reallocations do not exceed 10 percent of the estimated cost of the project receiving the additional funding. All other excess funds will be returned to the Joint Staff J-6 C2IP Program Manager or Service for reallocation to the next highest-priority projects.

ENCLOSURE D

GUIDELINES FOR VALIDATING AND APPROVING C2IP PROPOSALS

1. Controlling Criteria for C2IP Projects. C2IP project acquisitions of equipment, software, or services should directly support CINC C2 systems. Proposals should meet the following criteria for Joint Staff J-6 validation and approval.

   a. Utility. The C2IP program is intended to provide CINCs with a means to implement timely, low-cost, near-term improvements to their C2 systems resulting from unforeseen situations. These improvements should discernibly increase command readiness and combat capabilities by enhancing the CINC's ability to command and control forces.

   b. Project Size. Individual C2IP projects normally do not exceed a combined O&M and procurement dollar cost of $300,000.

   c. Project Duration. C2IP projects should be operational within 1 year after receipt of funding.

   d. Human Resource and Logistics Supportability. C2IP projects that require follow-on human or logistics resource support should receive that support from the CINC's supporting Service or another activity.

   e. Supportability, Interoperability, Compatibility

      (1) C2IP project proposals acquiring hardware or software will be reviewed and assessed by DISA for interoperability and spectrum compatibility requirements.

      (2) C2IP projects must be Joint Technical Architecture (JTA) compliant. Proposals must comply with references d, f, and h, Enclosure I, and meet DII COE Integration and Runtime Specification (I&RTS), Version 4.0, November 1999, requirements.

      (3) C2IP proposals for spectrum-dependent hardware should document spectrum supportability by referencing valid J/F-12 frequency allocations or note-to-holders for the intended service. C2IP projects that will replace existing services, i.e., same frequency band(s), transmit

power, etc., should include a statement indicating that the project will replace existing services. DOD spectrum certification is required for all such C2IP projects, to include those that use commercial hardware.

(4) C2IP project proposals that must be supportable within the global DISN should be confirmed with the DISA field office supporting the CINC prior to submission to the Joint Staff.

(5) C2IP project proposals should be coordinated with the appropriate Service(s) when a Service-managed system(s) is impacted.

2. Valid Non-material C2IP Projects. C2IP funds are eligible for the following non-material types of projects:

a. Studies. Funds may be used to address engineering solutions for specific C2 problems and their implementation documentation needs, such as those required by C4 Systems Master Plans.

b. Limited Travel. Funds may be used to cover TDY costs associated with the use of expertise needed to scope and perform engineering work on a specific C2 project or to solve a specific C2 system problem. Funds are not eligible for routine travel requirements.

c. Test and Evaluation. Funds may be used to test and evaluate C2 systems, equipment, or procedures that enhance C2 capabilities.

d. Software. Funds may be used for non-routine software upgrades in existing C2 systems.

3. Invalid C2IP Fund Uses. Funds may not be used for the following kinds of projects:

a. Continuation Support. C2IP funds are not eligible for follow-on maintenance contracts, license renewals, or long-term lease support after projects are initially implemented. C2 equipment or software purchased with C2IP funds should receive follow-on support through DOD logistics channels or have provisions set up in the host command to fund follow-on support.

b. Human Resource Augmentation. C2IP funds cannot be used to pay for staff augmentation, such as contractors performing routine staff functions. Funding for contracted technical and engineering services is permitted as part of an approved C2IP project when contractors are implementing timely, low-cost, near-term improvements to a CINC's C2 system.

   c. <u>Construction of Facilities</u>. Use of C2IP funds is not permitted for construction of facilities.

   d. <u>Incremental Funding</u>. C2IP funds are not eligible for use to procure multiple projects costing $300,000 or less as component parts of a larger project. Also, C2IP funds are not eligible to fund purchases of equipment or services supporting the same project year after year. C2IP funds are for one-time acquisitions only.

   e. <u>Circumvention of the Normal Approval Process</u>. C2IP funds cannot be used to expand the scope of separately approved and funded projects or programs. C2IP funds cannot be used for projects that have been specifically denied or deleted by OSD, OMB, or Congress.

   f. <u>Reimbursement</u>. C2IP funds cannot be used to reimburse funds received earlier from other funding sources.

4. <u>Equipment Accountability</u>. C2IP procurements will comply with applicable directives and procedures concerning resource management of accountable and/or non-expendable equipment, supplies, etc. Accountable equipment and supplies purchased with C2IP funds should be entered into the organization's property book records when issued and while in use. For equipment obtained through C2IP that is used by an organization other than the procuring organization, the procuring organization's equipment custodian should ensure the equipment is logged into property records by the gaining equipment custodian or supply officer.

5. <u>C2IP Validation Checklist</u>. The following validation checklist should be used for screening C2IP proposals in compliance with C2IP criteria and guidelines:

C2IP VALIDATION CHECKLIST

(CINC PROJECT NAME)   YES/NO

Utility. Timely, low-cost, near-term improvement to the
CINC's C2 system necessitated by unforeseen situations.   _____

Cost. Costs $300,000 or less.   _____

Duration. Is completed and operational within 1 year after
Receipt of funding   _____

Interoperability. Proponent must consult with the DISA
field office during proposal development for h/w and s/w for
determination of interoperability and compatibility and
develop cost estimate data when testing and certification
may be required.   _____

Compatibility. Proponent should consult with the supporting
Service, when appropriate, to determine potential impact on
Service-provided C2 system(s).   _____

Follow-on Support. Follow-on logistics or human resource
support will be provided through standard channels.   _____

VALID NONMATERIAL PROJECTS:

Studies. Engineering solutions to specific C2 problems
and their implementation documentation.   _____

Limited Travel. Is limited to bring personnel with expertise to
work on a specific CINC C2 system problem and solution.   _____

Test and Evaluation. Facilitates limited testing and evaluation of
equipment or software that enhances C2 capability.   _____

Software. Supports non-routine upgrades of software for existing
C2 systems.   _____

INVALID PROJECTS:

<u>Funding for Continued Support Needs</u>. Funding for follow-on
project needs is not permitted.   _____

<u>Human Resource and Logistics</u>. Human resource and logistic
needs should be fulfilled through standard channels.   _____

<u>Incremental Funding</u>. Cannot divide and fund parts of projects
or fund a project year after year.   _____

<u>Circumvention of Normal PPBS Process</u>. C2IP funds cannot be
used to expand the scope of separately approved and funded
projects or programs. C2IP funds cannot be used for projects
that have been specifically denied or deleted by OSD, OMB, or
Congress.   _____

<u>Reimbursement</u>. Cannot be used to reimburse funds received
earlier from other funding sources.   _____

<u>Infrastructure</u>. Cannot be used to fund normal C2 infrastructure
or facilities construction requirements.   _____

<u>Training</u>. Cannot be used to fund training unless the training is
an integral part of the equipment or software acquisition.   _____

<u>Augmentation</u>. Cannot be used to supplement acquisition
programs and may not be used to supplement other
developmental efforts for which funding lines already exist.   _____

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ENCLOSURE E

FORMAT TO BE USED FOR SUBMISSION OF C2IP PROPOSALS

1. <u>Purpose</u>. Each C2IP proposal must stand alone and contain elements of information needed to ensure that it conforms to program guidelines established in this CJCSI.

2. <u>Format</u>. Use the format features described below for the annual call, out-of-cycle, and emergency submissions. Unclassified proposals are preferred. Limit proposals to no more than five pages using single-spaced narratives. A systems interface description (SV-1), reference i, Enclosure I, should be included. A CINC J-6-signed memorandum must accompany all proposal requests. Provide proposals in hard and soft copy formats. Submissions should address all of the following fields in the order shown (if a field does not apply, annotate with "N/A").

    a. <u>CITING PRIORITY NUMBERS</u>. The command's highest priority proposal is number one. Commands may change the order of their priorities when submitting out-of-cycle proposals by labeling new proposals 1A, 4A, 4B, 4C, etc. Out-of-cycle request submissions are defined in the Glossary.

    b. <u>TITLE</u>. Short title of project that accurately indicates what the project is about.

    c. <u>BRIEF HISTORY OF PREVIOUS SUBMISSION</u>. If the proposal is new, so state. If it is a resubmission, provide the date and the earlier disposition made by the Joint Staff. Then, provide any new information and circumstances that may warrant reconsideration by the Joint Staff J-6.

    d. <u>COSTS</u>. Provide firm estimates of nonrecurring acquisition costs in terms of procurement and O&M funds. List all major items of equipment/software to be procured noting quantities, prices, and kinds of appropriations sought for each item. Include subtotal and grand total calculations by appropriation. Include a separate breakout of COMSEC equipment costs listing those to be procured with C2IP funds and those to be provided by the COMSEC program. Seek comptroller and/or legal assistance for correct appropriation classification.

e. DESCRIPTION. Describe equipment, software, or services to be acquired and explain the objectives and goals of the project. Include identifying nomenclature for equipment/software to be procured.

f. JUSTIFICATION. State why the project is needed and how it will improve the CINC's C2 capabilities. Relate project objectives to proposal requirements. Indicate why it qualifies as a C2IP proposal, i.e., satisfies a particular unforeseen C2 requirement. State why existing systems do not fulfill the requirement. Indicate C2 objectives, missions, or functions that will be adversely impacted if the project is not funded. Describe the unforeseen circumstances and immediate needs that relate to the request.

g. INTEROPERABILITY AND SPECTRUM COMPATIBILITY. Describe interoperability requirements and network interfaces, also provide a systems interface description (SV-1), reference i, Enclosure I, and critical interoperability exchange requirement documents as appropriate. Note how the project will interoperate with existing systems and how compliance with spectrum standards is to be achieved. Note the type, source, and version of all software to be used. Confirm that the applications and associated hardware comply with the Joint Technical Architecture (JTA), reference h, Enclosure I.

(1) Interoperability. Testing and Certification. State whether or not the GOTS/COTS hardware or software has undergone interoperability certification testing by DISA. Attach a copy of the certification whenever possible. If the proposed equipment is not certified, first determine if a substitution can be made that is certified. If not, describe the process or plans worked out with the DISA field office for interoperability testing prior to deployment of the proposed equipment. Also, have DISA provide a cost estimate for the testing, identify the DISA POC, and include email and telephone number information. The proponent should also include a testing/certification strategy when testing is required.

(2) Spectrum Supportability. Describe any spectrum-dependent hardware involved in the project. What portion of the spectrum and what class of service is involved? Has HNA been obtained? When and under what project or authority? Will this system replace an existing system? Has spectrum clearance been applied for/obtained? When and from whom? If not, what is the status of this effort?

h. COMPATIBILITY WITH SERVICE-MANAGED SYSTEM(s). Confirm that the proposed project will not have an unacceptable impact on a Service-provided C2 system.

i. INTEGRATED COMMUNICATIONS DATA BASE (ICDB NUMBER). Include for all satellite communications requirements, mark 'not applicable' for all others. A description of the process to obtain an ICDB number can be obtained by consulting reference e, Enclosure I.

j. TRAINING. Describe additional training required for the project and how it will be provided.

k. ADDITIONAL HUMAN RESOURCES. Indicate whether additional human resources are required.

l. LOGISTICS SUPPORT. Indicate the amount and cost of any spares, type of out-year life cycle support required, source of this support, and the activity or command that has agreed to provide the support. State if a formal support agreement, i.e., an MOU, is in effect or is being developed.

m. OUT-YEAR SUPPORT COST. Describe other costs such as recurring maintenance or licensing needs and how they are to be funded. C2IP funds may not be used for follow-on O&M costs. Explain how out-year support costs will be funded.

n. PROCUREMENT PLAN. Describe acquisition strategy and how funds will be obligated within established time limits.

o. SEND FUNDS TO. Organization or office accepting the Military Interdepartmental Purchase Request (MIPR) (DD Form 448-2). The MIPR address must be the accepting activity's responsible accounting and finance office. Include the full mailing address, point of contact, DSN voice and fax numbers, and commercial numbers. If funds are expected to be electronically transferred via the Program, Budget, and Accounting System (PBAS), provide the agency number, finance office mailing address, and financial points of contact, with telephone and fax numbers.

p. <u>PROVIDE POINT OF CONTACT (POC) INFORMATION</u>.

(1) Project proponent's name, rank, office symbol, mailing address (include APO), DSN and commercial fax and telephone numbers, and e-mail address.

(2) DISA Field Office and JITC POC information and component or Service acquisition command POC information.

ENCLOSURE F

C2IP REPORT REQUIREMENTS

1. <u>Purpose</u>. This enclosure establishes format requirements for CINC reports on C2IP project status and obligation and disbursement performance.

2. <u>Required Reports</u>

    a. Reports are to provide managerial insight and help track receipt and execution of funds. Acquisition weaknesses may be identified by poor obligation performance data, sometimes prompting effective action that helps keep the C2IP program on track. Monthly and quarterly reports help fulfill this managerial need. Also, timely and well-documented project completion reports substantiate the value of the C2IP program. Furthermore, auditors and congressional committee members occasionally inquire about the kinds of projects procured with C2IP funds. Project Completion Reports are used to satisfy these inquiries.

    b. Monthly Obligation Status Report. A faxed report, coordinated through the servicing financial authority (comptroller), that reflects the status of obligations and commitments performance both for Joint Staff and Service dollars. Presentation of this data should be broken out separately, i.e., current O&M and procurement dollars status plus the status of procurement dollars for the two previous fiscal years.

    c. Quarterly Obligation, Disbursement, and Project Status Report. A faxed report coordinated through the servicing comptroller that combines monthly report data as a quarterly summary, to include expenditure information. This report should also provide the status of all active projects.

    d. Project Completion Report

        (1) A faxed report that promotes understanding and helps ensure that managerial controls are working. These reports document the implementation of an approved project.

        (2) All commands are required to file a Project Completion Report on every funded project.

(3) Commands are encouraged to append useful graphics or photographs to their reports to promote understanding of the success of their projects.

(4) Commands should also note whether the project is interoperability and/or spectrum-compliant.

3. Monthly Obligation Status Report. Submitted by fax followed with signed correspondence to Joint Staff J-6 PB by the 15th of each month officially presenting the status of:

a. Effective date of information (e.g., 31 Mar 1999).

b. Servicing Comptroller Coordination Statement. "This report has been coordinated with the support command's financial authority (comptroller) and data are certified as being accurate as of (end of the reporting month)."

c. Total allocated funds to the command should be broken out in three distinct categories: Joint Staff procurement, Joint Staff O&M, and Service O&M. Out-of-cycle and emergency funds should be shown separately under these headings. A standard matrix format to be used is shown in Enclosure G.

d. Format for Current Fiscal Year Status:

Procurement:
Total Received   ($000, current year cumulative)
Total Committed   ($000, percentage of total received)
Total Obligated   ($000, percentage of total received)
Total Expended   ($000, percentage of total received)
Total Unprocessed   ($000, percentage of total received)

Joint Staff O&M:
Total Received   ($000, current year cumulative)
Total Committed   ($000, percentage of total received)
Total Obligated   ($000, percentage of total received)
Total Expended   ($000, percentage of total received)
Total Unprocessed   ($000, percentage of total received)

Service O&M:
Total Received	($000, current year cumulative)
Total Committed	($000, percentage of total received)
Total Obligated	($000, percentage of total received)
Total Expended	($000, percentage of total received)
Total Unprocessed	($000, percentage of total received)

e. Format of Status of Immediate Two Previous Fiscal Years of Procurement Funds: (1) Procurement – immediate prior year funding status:

Total Received	($000, previous year cumulative)
Total Committed	($000, percentage of total received)
Total Obligated	($000, percentage of total received)
Total Expended	($000, percentage of total received)
Total Unprocessed	($000, percentage of total received)

(2) Procurement -- second prior fiscal year funding status:

Total Received	($000, 2 year previous cumulative)
Total Committed	($000, percentage of total received)
Total Obligated	($000, percentage of total received)
Total Expended	($000, percentage of total received)
Total Unprocessed	($000, percentage of total received)

4.   Quarterly Obligation, Expense, and Project Status Report.

   a. Forward reports to Joint Staff J-6 PB by fax on or about:

      15 January (First Quarter)
      15 April (Second Quarter)
      15 July (Third Quarter)
      15 October (Fourth Quarter and End of Year)

   b. Construct the Obligation, Disbursement, Expense, and Project Status Report for the last month of the quarter into a quarterly report. Include or update disbursement data as recorded in DFAS on a quarterly basis using the matrix format shown at Enclosure G.

   c. For each C2IP project completed, provide a Project Completion Report IAW guidelines of paragraph 5 below.

   d. For each active C2IP project, provide the following additional information:

(1) PROJECT TITLE: Use exact title shown on the approved project request. ORIGINAL OR FINAL ADJUSTED COST: Note total dollars allocated broken out by appropriation. Current progress status (brief statement about the project with projected completion date noted).

(2) CHANGES: Note significant changes or adjustments and include a brief statement noting that the equipment, amount, or delivery date has changed.

e. End-of-year reconciliation (for 15 October report only): Explain the difference between estimated cost and actual cost of the project where the differences are significant. Note the amount of funds actually used. If actual costs differ from the DFAS data, the servicing comptroller should be prepared to explain these differences. Unused funds will be returned to the Joint Staff or Service. Final disposition of all C2IP funds allocated to the command should be accounted for and explained in the report.

5. Format for Project Completion Report

a. Forward reports to Joint Staff J-6 PB by mail within 30 days after full implementation of the project. Use the following memorandum format to provide this report:

(1) Exact title and date when the project request was approved.

(2) Breakout of funds by appropriation(s). Report the amount of funds received, actual cost of the project, and final disposition of excess funds as appropriate.

(3) Date of commencing the implementation of the project and the date of its completion.

(4) Lessons learned.

(5) Status of interoperability and spectrum compliance.

(6) Short descriptive paragraph noting how the project improved warfighter C2 readiness and combat capabilities. Include metrics, where practicable, that reflect improvement of warfighter readiness and/or combat capability gains.

b. Append unclassified graphics or photographs of products procured and installed as practicable.

ENCLOSURE G

FORMAT FOR FILING MONTHLY/QUARTERLY REPORTS
(As of…………200-)

Current Fiscal Year

The dollar figures reported below were coordinated with the Comptroller's office.

APPN/SOURCE   RCV'D   COMITT'D   OBL   %OBL   EXP   % EXP   UNPROC'D

PROCUREMENT

Joint Staff O&M

Service O&M

Out-of-Cycle O&M

Out-of-Cycle PROC

Prior Fiscal Year

APPN   RCV'D   COMITT'D   OBL   %OBL   EXP   % EXP   UNPROC'D
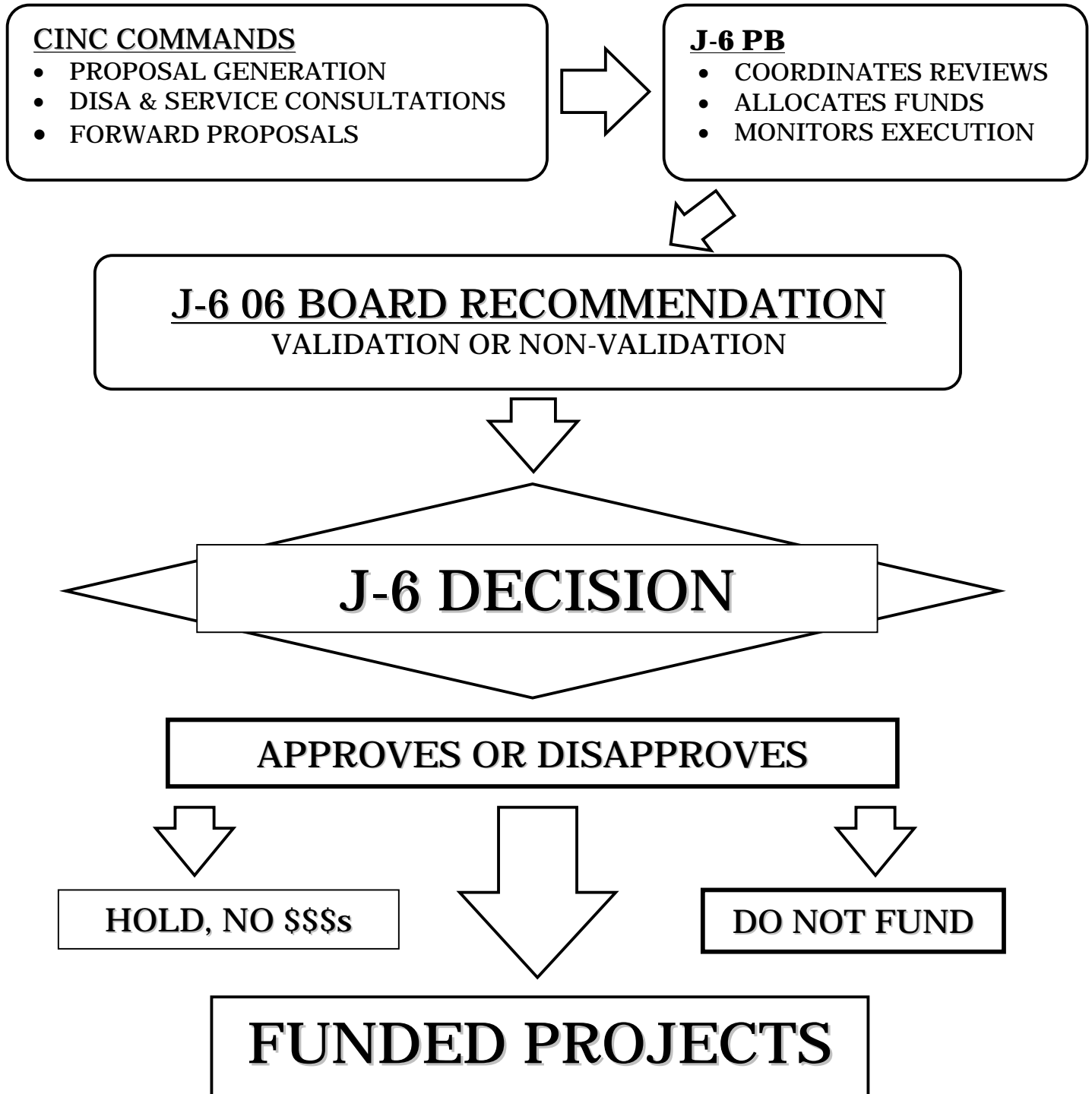
PROCUREMENT

Second Prior Fiscal Year

APPN   RCV'D   COMITT'D   OBL   %OBL   EXP   % EXP   UNPROC'D

PROCUREMENT

(INTENTIONALLY BLANK)

ENCLOSURE H
C2IP REVIEW PROCESS

CINC COMMANDS		J-6 PB
• PROPOSAL GENERATION • DISA & SERVICE CONSULTATIONS • FORWARD PROPOSALS	⇒	• COORDINATES REVIEWS • ALLOCATES FUNDS • MONITORS EXECUTION

J-6 06 BOARD RECOMMENDATION
VALIDATION OR NON-VALIDATION

J-6 DECISION

APPROVES OR DISAPPROVES

HOLD, NO $$$s

DO NOT FUND

FUNDED PROJECTS

(INTENTIONALLY BLANK)

ENCLOSURE I

REFERENCES

a. ASD(C31) Memorandum, 1 April 1980, "Command-in-Chief (CINC) Command and Control Initiatives."

b. MCM-135-91, 29 July 1991, "Acquisition and Contracting Management Role of the Unified and Specified Commands."

c. DID 8910.IM, November 1986, "Procedures for Management of Information Requirements."

d. DODD 4630.5, 12 November 1992, "Compatibility, Interoperability, and Integration of Command, Control, Communications, and Intelligence (C3I) Systems."

e. CJCSI 6250.01, 20 October 1998, "Satellite Communications."

f. DODI 4630.8, 18 November 1992, "Procedures for Compatibility, Interoperability, and Integration of Command, Control, Communications, and Intelligence (C3I) Systems."

g. DOD Financial Management Regulation, DOD 7000.14-R, Volume 2A, July 1998.

h. Joint Technical Architecture (JTA) Version 3.0, 29 November 1999.

i. C4ISR Architecture Framework, Version 2.0, para 4.2.1.

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GLOSSARY

1. <u>C2IP Proposal</u>. A request for C2IP funding submitted by a CINC command in accordance with this instruction. See Enclosure E for format and submission requirements.

2. <u>C2IP Project</u>. A C2IP proposal that has been validated and approved for funding by the J-6, Joint Staff.

3. <u>Command and Control System</u>. The equipment, communications, computers, procedures, and personnel essential to the CINC for planning, directing, and controlling operations of assigned forces pursuant to the mission assigned.

4. <u>Command and Control</u>. C2 is the exercise of authority and direction by a properly designated commander over assigned forces for the accomplishment of a mission. C2 functions are performed through an arrangement of personnel, equipment, communications, facilities, and procedures employed by a commander in planning, directing, coordinating, and controlling forces and operations in the accomplishment of the mission.

5. <u>Commitment</u>. An administrative reservation of funds based upon firm procurement requests, orders, directives, and authorizations to issue requests that authorize the recipient to create obligations without further recourse to the official responsible for certifying the availability of funds. A recording of a commitment against an allotment to reserve funds for future obligations.

6. <u>Defense Information Infrastructure (DII)</u>. DII will be superceded by the Global Information Grid (GIG) in the future. DII is the web of communications networks, computers, software, databases, applications, weapon system interfaces, data, security services, and other services that meet the information processing and transport needs of DOD users across the range of military operations. It encompasses: (1) sustaining base tactical, DOD-wide information systems, and Command, Control, Communications, Computers, and Intelligence (C4I) interfaces to weapons systems; (2) the physical facilities used to collect, distribute, store, process, and display voice, data, and imagery; (3) the applications and data engineering tools, methods, and processes to build and maintain the software that allow command and control (C2), intelligence, surveillance, reconnaissance, and mission support users to access and manipulate, organize, and digest proliferating quantities of information; (4) the standards and protocols that facilitate interconnection and interoperation among

networks; and, (5) the people and assets which provide the applications and services, construct the facilities, and train others in DII capabilities and use (DII Master Plan, Version 8, 29 March 1999.

7. <u>Emergency Proposal</u>. An unforeseen requirement that meets C2IP criteria and the immediacy is of such import that continued operation of a CINC C2 system is critically impaired.

8. <u>Excess Funds</u>. Funds that can neither be obligated nor committed on a validated C2IP project they were distributed to fund. These funds will be returned to the Joint Staff or Service.

9. <u>Expenditure or Outlay</u>. The dollar amount of checks issued or cash disbursed to a vendor or contractor or a government transaction that has been paid (paper transaction). (DOD Financial Management Regulation, DOD 7000. 14-R, Volume 2A, July 1998.)

10. <u>Funding Approval</u>. Determination made by the Joint Staff J-6 that a C2IP project is valid and approved for funding. The total worth of approved C2IP projects may not exceed fiscal resources.

11. <u>Interoperability</u>. (1) The ability of systems, units, or forces to provide services to and accept services from other systems, units, or forces and to use the services so exchanged to enable them to operate effectively together. (2) The condition achieved among communications-electronics systems or items of communications-electronics equipment when information or services can be exchanged directly and satisfactorily between them and/or their users.

12. <u>Interoperability Test Certification</u>. Certification is given when confirmation is provided by DISA JTIC, in coordination with the system functional proponent, that a system (1) has undergone appropriate Service-level testing; (2) the applicable standards and requirements for compatibility, interoperability, and integration have been met; and (3) the system is ready for joint and/or combined use.

13. <u>Joint Interoperability Test Command (JITC)</u>. JITC is the Defense Information Systems Agency facility for interoperability test certification of national security systems (NSS) and information technology systems (ITS).

14. <u>Obligation</u>. Consists of orders placed, contracts awarded, and similar transactions that legally encumber the government to a specific future outlay of funds. Funds are either committed or obligated, but not both at the same time. Funds are obligated the moment a contract is

signed or when a Cost Reimbursable Military Interdepartmental Purchase Request (MIPR) is accepted as reimbursable. The transaction must be recorded in the Defense Finance and Accounting System (DFAS) before it is considered official. (DOD Financial Management Regulation, DOD 7000.14-R, Volume 2A, 23 June 1993).

15. Out-of-Cycle Request. An out-of-cycle request is a project request that emerges throughout the year that was not submitted in the original yearly call milestones. Changes to a command's request will be considered out-of-cycle once the Joint Staff has validated the requirements submitted in the yearly call. Out-of-cycle requests should be prioritized within the original project submission list from the command. Out-of-cycle requests that are placed higher on the priority list than funded projects should be funded in lieu of the lower priority project within the command's funding allocation (if funds have not been obligated on the lower-priority projects).

16. Recorded. For the purpose of this instruction, commitments, obligations, and expenditures are considered officially recorded when entered into the DFAS system.

17. Spectrum Certification. The process by which development of procurement of communications-electronics systems, including all systems employing satellite techniques, will be reviewed and certified for system compliance with spectrum management policy, allocations, regulations, and technical standards to ensure that radio frequency spectrum is available. Additionally, the predicted degree of electromagnetic compatibility between the proposed system and other spectrum-dependent systems must be determined plus the possible need for and evaluation of the results of prototype electromagnetic compatibility testing must be determined.

18. Unprocessed Funds. Funds that have been received but are neither committed nor obligated.

19. Validated. Certification by the Joint Staff J-6 C2IP Review Board that a C2IP proposal meets all of the criteria set forth in this instruction. The total worth of validated C2IP projects may exceed fiscal resources.

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